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MEMORANDUM

DATE: March 15, 1995

TO: Gerald Poe - Records Management Officer
Dept. of Human Resources

FROM: Peter E. Schinkel - Head, Schedule Section 

SUBJECT: DHR retention schedule change report

SCHEDULE #: 86-0085[-M]

SERIES TITLE "Adverse Actions and Other Disciplinary Actions Files," 1980 and ongoing

CHANGE DATE: March 3, 1995

The change report has been recorded and filed with the official copy of the approved schedule.

cc: Schedule Case File - 86-0085
Minor Change File
Andy Taylor - Assistant Director

Records Retention Schedule

Georgia Department of Human Resources

Division/Office: Office of Personnel Administration

Section/Unit: Human Relations Section

Schedule Use: Office/Section

Schedule No.: 86-85 **Date:** Minor Change 3-3-95

Record Series Title: ADVERSE ACTIONS AND OTHER DISCIPLINARY ACTIONS FILES

Description: Documents relating to recording disciplinary and adverse actions taken against DHR employees.

Included are: Materials related to progressive discipline such as written warnings and reprimands; work test dismissals; suspensions with pay; suspensions without pay, demotions, salary reductions, and dismissals; and appeals to the State Personnel Board resulting from these actions.

File Arrangement: By year, then alphabetically by employee name.

Retention/Disposition Instructions:

When case is completed and no further action is anticipated, place all papers in the closed file. Cut off the closed file at the end of each calendar year; hold in current files 3 years; transfer to the State Records Center; hold 2 years; then destroy. **Note:** In the event of a charge or other legal action, records are retained until final disposition.

Confidential: No - Open Record

Supersedes: 86-85 (approved 9-26-86)

860611-03

DIVISION OF ADMINISTRATIVE SERVICES RECORDS MANAGEMENT UNIT

For instructions on completing this form contact DHR Records Management Unit, 47 Trinity Avenue, Atlanta, Georgia 30334. Phone - (404) 656-4976 GIST: 221-4983

DHR		1. GEORGIA DEPARTMENT OF HUMAN RESOURCES		ARCHIVES AND HISTORY	
Application Date 6/10/86		Division of Administrative Services Office of Personnel Administration 47 Trinity Ave. S.W. Atlanta, Georgia 30334		Application Number 86-85	
Application Series 86-6				Date Received JUN 11 1986	
2. Person to Contact Barbara Deedy		Working Title Assistant Director		Date Completed SEP 26 1986	
				Telephone Number 656-6750	
3. Action Requested					
a. <input checked="" type="checkbox"/> Establish Retention Schedule; record will continue to accumulate.					
b. <input type="checkbox"/> Dispose of present accumulation; no further accumulation anticipated.					
c. <input type="checkbox"/> Amend Application No. _____ Check One: <input type="checkbox"/> Change; <input type="checkbox"/> Supersede; <input type="checkbox"/> Void					
4. Dates of Series		5. Records Series Title (followed by title used in office, if different)			
Earliest 1980		Latest continuing			
		Adverse Action and Discipline File			
6. Division and Office Function					
What is the function of the Division and the Office in which this record series is created?					
The Administrative Services Division provides the program direction and coordination of the specialized functions which support the Department's internal operations and legal environment through the Offices of Administrative Appeals, Audits, Child Support Recovery, Financial Services, Fraud and Abuse, Personnel Administration, Regulatory Services and Support Services.					
The Office of Personnel Administration is responsible for implementing, managing and monitoring a fair program of personnel administration for the Department of Human Resources.					
7. Records Series Description					
This file contains the following documents (include form numbers and titles, if any): Attach samples of the file.					
Documents relating to: recording disciplinary and adverse action taken against DHR employees.					
Included are: records of warnings, reprimands, work test dismissals, suspensions with/without pay, demotions, disciplinary salary reductions, dismissals, appeals from these actions and materials related to progressive discipline.					
The file is arranged: by year, then numerically by case number.					
8. Monthly Reference Rate					
How often are records referred to which are:					
One to six months old 2 ; Seven to twelve months old 1 ; Thirteen to twenty-four months old 1 ; twenty-five months and older 0 ?					
9. Annual Rate of Accumulation or Records					
Letter-size drawers 2 ; Legal-size drawers _____ ; Shelves _____ ; Other (Specify) _____					

X	If not, where is it?
X	b. Does the series contain confidential information requiring security handling? If yes, cite law or regulation. Privacy Act - Public Law 93-579-Section 552a; Records maintained on individuals.
X	c. Is this a vital record?
X	d. Does this series have historical or long term research value?
X	e. When one or two documents in the file make it necessary to keep the entire file for a long period, could these documents be scheduled separately?
X	f. Is the information contained in this series ever published? If yes, attach copy.
X	g. Is the information contained in this series ever analyzed and/or recorded in a summarized report? If yes, attach copy.
X	h. Is there a duplication of this series in your office, or in another office or agency? If yes, where?
X	i. Is this series (or a major portion of it) regularly microfilmed?
X	j. Does the record series result in a computer printout?

11. Retention Requirements

The following requires the series to be kept:

- | | | | |
|--------------------------|--------------|-----------------------------------|----------------|
| a. State Law | _____ years. | d. Audit period | _____ years. |
| b. Statute of limitation | _____ years. | e. Administrative need | 5 _____ years. |
| c. Federal law | _____ years. | f. Federal retention instructions | 2 _____ years. |

Attach copy or excerpt of laws or regulations. Explain administrative need.

e. Administratively, these files are needed for five years to document adverse and disciplinary actions taken by DHR.

f. 29 CFR 1602.30

12. Approved Disposition Instructions

This agency recommends that the file series be cut off at the end of each:

☐ Calendar Year; ☐ Fiscal Year; ☒ Other _____ then,

- ☐ Hold in the current files area _____ month(s) _____ year(s); then
- ☐ Transfer to local holding area; hold _____ year(s); then
- ☐ Transfer to State Records Center; hold _____ year(s); then
- ☐ Destroy
- ☐ Transfer to State Archives for permanent retention.
- ☒ Other (Specify)

When case is completed and no further action is anticipated, place all papers in the closed file. Cut off the closed file at the end of each calendar year, hold in current files area 3 years, transfer to State Records Center, hold 2 years, then destroy.

NOTE: In the event a charge of discrimination is filed, or an action brought by the U.S. Attorney General, these records must be retained until final disposition of the charge or action.

These instructions apply to all prior and future accumulation of records for this series title.

Signature	Date	Signature	Date
DHR Office/Division - Director/Designee		DHR Records Management Supervisor	
<i>Barbara B. Deedy</i>	5-10-86	<i>Paul H. Murphy</i>	6/10/86
DHR Section/Unit - Chief/Supervisor/Designee		DHR Records Management	
<i>Barbara B. Deedy</i>	6-10-86	<i>Paul H. Murphy</i>	6/10/86
STATE RECORDS COMMITTEE			
Retention recommendations in paragraph 12 are approved - If not approved, please attach a letter of explanation.		Signature	Date
		State Auditor/Designee	8.21-86
		Secretary of State/Designee	8/19/86
		Attorney General/Designee	8/23/86